

## U.S. DEPARTMENT OF COMMERCE PATENT &amp; TRADEMARK OFFICE

B/O Form PTO-1390		<b>Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 USC 371</b>		Attorney's Docket Number JEK/Hornung U.S. Application Number (if known) <b>09/786195</b>
International Application Number PCT/EP99/06027		International Filing Date 17 August 1999		Priority Date Claimed 04 September 1998
Title of Invention METHOD AND DEVICE FOR CONTROLLING PAPER DOCUMENTS OF VALUE				
Applicant(s) for DO/EO/US Heinz HORNUNG et al.				

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items under 35 USC 371:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 USC 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 USC 371.
3. ☒ This express request to begin national examination procedures (35 USC 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 USC 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed 35 USC 371(c)(2).
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 USC 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 USC 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 USC 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 USC 371(c)(4)). ( ☐ Executed ☒ Unexecuted )
10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 USC 371(c)(5)).



Items 11 to 16 below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: 3 sheets formal drawings

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				Calculations	PTO USE ONLY
17. The following fees are submitted: <b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b> <input checked="" type="checkbox"/> Search report has been prepared by the EPO or JPO ..... \$840.00 <input type="checkbox"/> International Preliminary Examination Fee paid to USPTO (37 CFR 1.482) ..... \$670.00 <input type="checkbox"/> No International Preliminary Examination Fee paid to USPTO (37 CFR 1.482) but International Search Fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$690.00 <input type="checkbox"/> Neither International Preliminary Examination Fee (37 CFR 1.482) nor International Search Fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$970.00 <input type="checkbox"/> International Preliminary Examination Fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$96.00					
<b>ENTER APPROPRIATE BASIC FEE AMOUNT</b>				<b>\$ 840.00</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
<b>CLAIMS</b>	<b>NUMBER FILED</b>	<b>NUMBER EXTRA</b>	<b>RATE</b>		
Total Claims	23 -20 =	3	× \$18.00	\$ 54.00	
Independent Claims	1 -3 =		× \$78.00		
Multiple Dependent Claims (if applicable)			+ \$260.00		
<b>TOTAL OF ABOVE CALCULATIONS</b>				<b>\$ 894.00</b>	
Reduction by ½ for filing by small entity, if applicable. Verified Small Entity Statements must also be filed (Note 37 CFR 1.9, 1.27, 1.28)					
<b>SUBTOTAL</b>				<b>\$ 894.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).					
<b>TOTAL NATIONAL FEE</b>				<b>\$ 894.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property.					
<b>TOTAL FEES ENCLOSED</b>				<b>\$ 894.00</b>	
				Refunded:	
				Charged:	

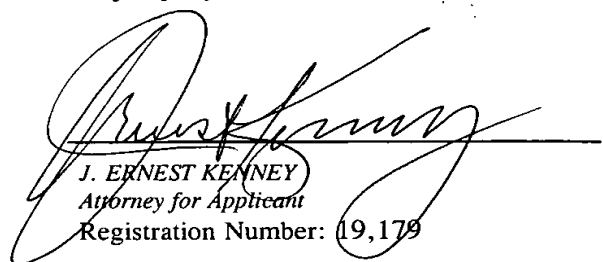
- a. ☒ A check in the amount of **\$894.00** to cover the fees is enclosed.
- b. ☐ Please charge my **Deposit Account Number 02-0200** in the amount of \$ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to **Deposit Account Number 02-0200**. A duplicate copy of this sheet is enclosed.

Note: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**BACON & THOMAS, PLLC**  
 625 SLATERS LANE - FOURTH FLOOR  
 ALEXANDRIA, VIRGINIA 223124-1176  
 (703) 683-0500

DATE: 02 March 2001

Respectfully submitted,

  
**J. ERNEST KENNEY**  
 Attorney for Applicant  
 Registration Number: 19,179

## EARLY NOTICE OF SERIAL NUMBER REQUESTED

PATENT APPLICATION

BACON &amp; THOMAS

(NEW)

625 Slaters Lane — 4th Floor — Alexandria, VA 22314 — (703) 683-0500

Attorney Docket Number: JEK/Hornung

The PTO stamp hereon acknowledges receipt of an appended new application for ☐ Utility Patent ☐ Design Patent ☐ Provisional☒ Nat'l. Stage Processing Docs. of Intl. Appln. No. PCT/EP99/06027

Filed 17 August 1999

of (INV.): Heinz HORNUNG et al.

For (TITLE): METHOD AND DEVICE FOR CONTROLLING PAPER DOCUMENTS OF VALUE

INCLUDING: 18 Pgs. of Spec. ☒ Prelim. Amdt. ☒ Check for \$894.003 Shts. of Dwgs. ( ☒ Formal ☐ Informal ) ☒ Abstract 23 Claims☐ Transmittal ☒ Declaration (Unexecuted) ☐ Declaration (From Prior Application)☐ Assignment ☐ Appendix to Specification ☐ Power of Attorney☐ Inf. Discl. Stmt. w/refs. ☐ Certified Copy of Priority Doc.☐ Sm. Entity Stmt(s) - ☐ inv. ☐ sm. bus. ☐ non-inv. ☐ non-profit☐ Continuation ☐ Divisional ☐ Cont.-in-Part of Prior Appln. No.     ☒ PCT National Stage Transmittal Letter With: ☐ Int'l. Appl. (As filed) ☒ Trans.Trans. of ☐ Amendment (Art. 19) ☒ Annexes (Art. 34)☐

Filed by : tmf



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1009 Rec'd PCT/PTO REQUESTED

02 MAR 2001  
PATENT APPLICATION

BACON &amp; THOMAS

(NEW)

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